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ABSTRACT

This discussion draft of a conceptual framework for monitoring children's services was prepared by Peat, Marwick and Co. for the Children's Services Monitoring Transfer Consortium (CFMCS), an organization spanning five states: California, Michigan, Pennsylvania, Texas, and West Virginia. The primary purpose of this conceptual framework was to define the scope of activities appropriate to the consortium. Following the first section's brief introductory overview of CFMCS's purpose, section two briefly discusses the social services environment in which monitoring takes place in terms of state differences in scope of approach, terminology used, and organization of monitoring and related activities. The third section sets forth a definition of monitoring as a management control process. The definition clarifies what is included in monitoring, sets boundaries to exclude certain activities, and suggests looking at monitoring as a process that seeks to increase both program quality and management efficiency on an ongoing basis. A general monitoring classification framework, reflecting what is happening in day care monitoring in the five consortium states, is presented in section four. The final section discusses issues related to the extension of the monitoring concepts to other children's services. (Author/MP)

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A CONCEPTUAL FRAMEWORK FOR MONITORING CHILDREN'S SERVICES

Discussion Draft
June 30, 1981

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CHILDREN'S SERVICES MONITORING TRANSFER CONSORTIUM

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PREFACE

The Consortium is pleased to release this discussion draft of a Conceptual Framework for Monitoring Children's Services, prepared for the Consortium by Peat, Marwick, Mitchell & Co. Since this paper is indeed in draft stage, we encourage your discussion, comments, and questions. We hope that interested agencies and professionals will carefully review and critically consider the approach the Consortium has taken. (The background of the Consortium is summarized in the attached bulletin.)

The initial purpose of this conceptual framework of monitoring was to define the scope of activities of the Consortium. As such, it has served its purpose and the Consortium is operating within this definition in our first phase. However, as the conceptual framework developed through several drafts, it became evident to the Consortium members and our HHS colleagues that the framework had stimulated us to clarify our thinking about monitoring of children's social services. Hopefully, this discussion draft will stimulate further thinking in the field and we will all benefit from the dialogue that will follow.

In Phase II of our Consortium's project life, beginning in November 1981, we plan to continue to use this framework as a forum to consider some of the important issues facing monitoring in the children's services field. For example, what would be the implications upon state responsibility if there were no longer any Federal regulations in day care. Or, what would be the position of funding for monitoring versus funding for direct services if there is a substantial cutback in overall funding?

As you read the paper, you will understand the Consortium's initial focus on monitoring of day care, as well as our plans to expand to include other children's services. We welcome your comments and questions.

Dr. Richard Fiene
Project Director

A CONCEPTUAL FRAMEWORK FOR MONITORING CHILDREN'S SERVICES

Table of Contents

INTRODUCTION	1
ORGANIZATION OF THE PAPER	2
ENVIRONMENTAL CONSIDERATIONS	2
Differences in Scope of Monitoring	2
Differences in Terminology	3
Differences in Organization	4
Other Differences	4
MONITORING DEFINED AS A MANAGEMENT TECHNIQUE	5
"Management Process" and "Ongoing Basis"	5
"Reviewing and Controlling"	9
"Program Quality" and "Management Efficiency"	9
"Predetermined Criteria"	10
GENERAL CLASSIFICATION FRAMEWORK	10
Goals of Monitoring	11
Generic Monitoring Functions	11
Examples of State Terms	14
EXTENDING MONITORING CONCEPTS TO OTHER CHILDREN'S SERVICES	15

INTRODUCTION

- What is monitoring?
- Can a definition of monitoring in children's services be agreed upon in view of wide variations in practice?
- What perspective should the five-state Children's Services Transfer Consortium take of monitoring?

These three questions arose early in planning the Children's Services Monitoring Transfer Consortium. Because of wide variations in the way that monitoring services is viewed in the five Consortium states, as well as in other states, we recommend the need for clarification of the term "monitoring". As the scope of the Consortium is first upon day care, most of the illustrative material in this paper is based upon day care. This conceptual framework was developed by Peat Marwick with input from discussion meetings of the Consortium in February 1981. It defines the scope of activities until at least October 1981 when the Consortium will reconsider it.

With Department of Health and Human Services' encouragement and financing the states of California, Michigan, Pennsylvania, Texas, and West Virginia formed a Consortium in October 1980 to transfer exemplary components of Children's Services Monitoring systems among themselves. While day care was seen as the primary focus of attention, the transfer methodology is believed to have considerable potential for other children's service areas in which these states and others are involved. As lead state, Pennsylvania applied for and received an HHS grant and has contracted with Peat Marwick for staff services to the Consortium.

The primary purpose of this conceptual framework of monitoring is to define the scope of activities appropriate to the Consortium. As a working document, the framework serves as one criterion for assessing the transferability of monitoring components from one state to another. The framework may also suggest to the states areas for improvement and expansion of their monitoring role. In addition, because of the lack of agreement about monitoring in the social services field, the framework promotes further thinking about the application of management concepts of monitoring.

This discussion draft of a conceptual framework for monitoring was prepared for the Consortium by Peat Marwick based on:

- a review of the literature;
- an analysis of the practices of the five states in the Consortium; and
- the initial responses of the Consortium members and others to earlier drafts.

ORGANIZATION OF THE PAPER

This paper uses illustrations primarily from the day care field. The next section discusses briefly the social services environment in which monitoring takes place, in terms of state differences in scope of approach, terminology used, and organization of monitoring and related activities.

The third section sets forth a definition of monitoring as a management concept.

The fourth section presents a generic monitoring classification framework with application to the day care field.

The final section discusses issues in extending the monitoring concepts to other childrens' services.

ENVIRONMENTAL CONSIDERATIONS

Monitoring of the social services is conducted within an established environment of some public agency dealing with independent organizations that are being monitored. These monitored organizations may be operated under governmental, voluntary, or proprietary auspices. The environment is discussed in this section as differences in:

- scope of monitoring;
- terminology; and
- organization.

Differences in Scope of Monitoring

The range of activities related to day care that may be considered to be monitoring in this project varies considerably from state to state. Typically, however, there are two levels of day care monitoring in which states are involved: 1) monitoring to ensure compliance with state licensing statutes which apply to all providers and 2) monitoring to ensure compliance with departmental regulations which apply only to publicly funded providers. In the latter case, the regulations usually relate to program and contracting requirements which are over and above the "floor" provided by the licensing standards. As a subsequent section of this paper describes, however, the terms used for these two levels are not consistent across states.

A few states limit their monitoring of non-publicly funded providers to basic requirements concerning the health and safety of young children. This type of monitoring involves a state principally as regulator, with responsibility for setting standards and enforcing compliance.

Other states view their role more broadly by taking a further step to assist those day care providers who do not meet the standards at either the application point or at later inspection visits to come into compliance. This technical assistance is intended to encourage the general improvement of day care in the state. A further distinction concerning this type of

assistance can be made between states that provide remedial assistance only to licensed providers who are not in ongoing compliance and states that offer consulting services to all providers in advance of the application for a license.

A slightly different expansion in the scope of state involvement occurs when a state determines that it has a role in strengthening child development programs beyond the minimum level of its licensing standards.

The term "monitoring" has been used by states that are characterized by each of these widely varying approaches, but the work has clearly different meanings in each case. These differences in scope have important implications for the feasibility of transferring procedures or other technology from a state that has one scope to a state with a more or less restricted scope. For example, a performance appraisal system for day care monitors could include very different procedures, standards, and measures depending on the role of the monitor.

Our conceptual framework needs to accomodate such differences in scope so that judgements can be made about the relevance of a technology for other state systems.

Differences in Terminology

Wide differences exist in the terms that states apply to their monitoring activities. The term "monitoring" itself may be more or less strictly construed to apply to the supervision phase of the licensing process, the contract compliance process, technical assistance to providers, or other activities such as methods used to manage state resources for monitoring. In some states, the term monitoring is never used even though activities may be the same as in another state where it is. The list of terms used by states to describe their activities related to oversight of day care is a lengthy one and includes such terms as:

- licensing;
- registration;
- approval;
- regulation;
- establishment of recommended guidelines;
- technical assistance;
- training;
- corrective action;
- contracting;
- reporting;
- auditing; and
- evaluation.

Not only are different terms used to describe different activities of the states but, in some cases, the same term is used in different states for different activities. For example, in Texas the monitoring portion of licensing refers to the inspection of day care facilities to assure that

basic safety, health, and sanitation standards are met. In Michigan, the monitoring portion of licensing refers in part to a review that encompasses not only health and safety but also child development programs that are offered, parent involvement, and staff skills and credentials.

Not only are the terms used by the states different, but they are easily changed. In many cases such terms as licensing, registration, auditing, and monitoring are embodied in state statutes and administrative regulations that govern day care. To attempt a common set of definitions could lead to even greater confusion for those who are most responsible for creating a system of quality day care--the providers. Thus, a conceptual framework must develop common descriptors in such a way that both general features of day care "monitoring" systems and specific features of each state's day care "monitoring" system are appropriately linked in a way that allows a translation, or "crosswalk," of particular terms.

Differences in Organization

The organization of monitoring at the state level is another factor that is a source of potential difficulty in transferring components of a monitoring system from one state to another. In some states the monitoring function is split among several state units; in other states it is consolidated under a single unit. The most frequently observed division of responsibility for monitoring is the delegation of licensing review functions to one unit and the delegation of monitoring of federally funded day care to another unit. In some states, responsibility for monitoring contract compliance with publicly funded day care contracts is handled by yet a third unit. Sometimes these different units are within the same division or department but they may also be organized as parallel divisions.

Where these types of splits occur, there are frequently very different procedures and approaches for monitoring among the several units, with some units adopting a regulatory and enforcement approach (e.g., those involved in licensing) while others use a consultative approach to service providers. This could be relevant to the Consortium because it could lead to difficulties in the transfer to monitoring system components. For example, it matters greatly whether a component of contract monitoring procedures is performed in a transferring state (which divides its responsibilities) by accounting technicians or auditors but must be adapted for a receiving state (with consolidated responsibilities) to be usable by staff with social work backgrounds.

Thus, our conceptual framework must deal with functions to be performed without reference to variations in state organizational patterns.

Other Differences

Another issue arises in the legal basis for monitoring activities. In all states, licensing standards that apply to all providers regardless of funding are specified in statute; in some states, additional "standards"

or requirements are applied to publicly funded day care through the administrative regulatory process. While the process for changing requirements that apply to publicly funded day care may be time-consuming, it may be easier to transfer components that impact that process than those which require changing licensing statutes—a most difficult task in the current political atmosphere of de-regulation.

A different set of concerns revolves around the fact that states are subject to differing political, fiscal, and social forces that can have a significant impact on the direction in which their monitoring systems will change over the next few years. In particular, funding may become more limited as many states try to reduce budgets in response to taxpayer pressures and inflation. Some states may respond by finding new ways of monitoring that do not involve the levels of staff that are currently employed in monitoring. This kind of change could have major effects on the success of transfers of components among states.

It will be necessary for each state to consider not only how particular approaches used by other states could fit into its own current monitoring system, but also whether a current system is likely to change before a transfer can have value.

MONITORING DEFINED AS A MANAGEMENT TECHNIQUE

In this paper, monitoring is defined as:

> the management process of reviewing and controlling the delivery of program services on an ongoing basis, according to predetermined criteria, with the intention of taking corrective action to assure and increase both program quality and management efficiency.

"Management Process" and "Ongoing Basis"

Several key phrases in the definition are highlighted to clarify the usefulness of the definition. The first of these are "management process" and "ongoing basis" which emphasize the continuing and dynamic aspects of monitoring and help to distinguish monitoring from program evaluation. Monitoring actively seeks to intervene in ongoing systems on a regular, periodic basis for the purpose of making changes and improvements. This intervention in an ongoing system is presented graphically in Exhibit 1, in comparision to program evaluation.

Thus, monitoring may be viewed separately from the service delivery system being monitored. In general terms, the monitoring process consists of:

- Setting criteria (e.g., standards or administrative requirements);

- Conducting the analysis;
- Reviewing; and
- Reiterating this process.

Monitoring is linked to the continuous, ongoing, changing activities of the service delivery system being monitored by performing the following functions:

- agreeing on criteria;
- assessing conformance;
- appraising feedback; and
- taking corrective action.

By comparison, in a general sense as depicted in Exhibit 1, program evaluation does not intervene in the system except to clarify the goals and objectives against which activities will be appraised. Thus, program evaluation first helps managers of service delivery to clarify goals and objectives of services. At some defined subsequent time, the program evaluator gathers data to test whether the delivery system is producing the desired results. (Program evaluation is a very broad topic which this paper does not attempt to discuss; this presentation is only to differentiate between monitoring and evaluation at a generalized level.)

Another way of viewing monitoring as a management process is to look at it in terms of system elements and in relation to program evaluation--as depicted in Exhibit 2. In that presentation, the service delivery system is broken into the following system elements:

- Resource inputs;
- Production or service process;
- Product or service outputs; and
- Outcomes/goal achievement.

Within, these four elements, monitoring is viewed as the ongoing analysis of inputs, process, and outputs of the system. This is compared to program evaluation which looks at outcomes as compared to inputs, process, and outputs.

Another interesting perspective suggested in Exhibit 2 is that the analysis of inputs and process is best conceived of as quality assessment. For example, the ratio of number of staff to children is best viewed as a quality indicator as it can be compared with national or state standards. However, this standard does not measure output nor, except in limited instances, is it linked empirically to outcome. In this example, adequate staff/child ratios do not necessarily ensure the outcome of positive child development in the children cared for.

EXHIBIT 1

DISTINCTION BETWEEN MONITORING AND PROGRAM EVALUATION IN DEGREE OF INTERVENTION

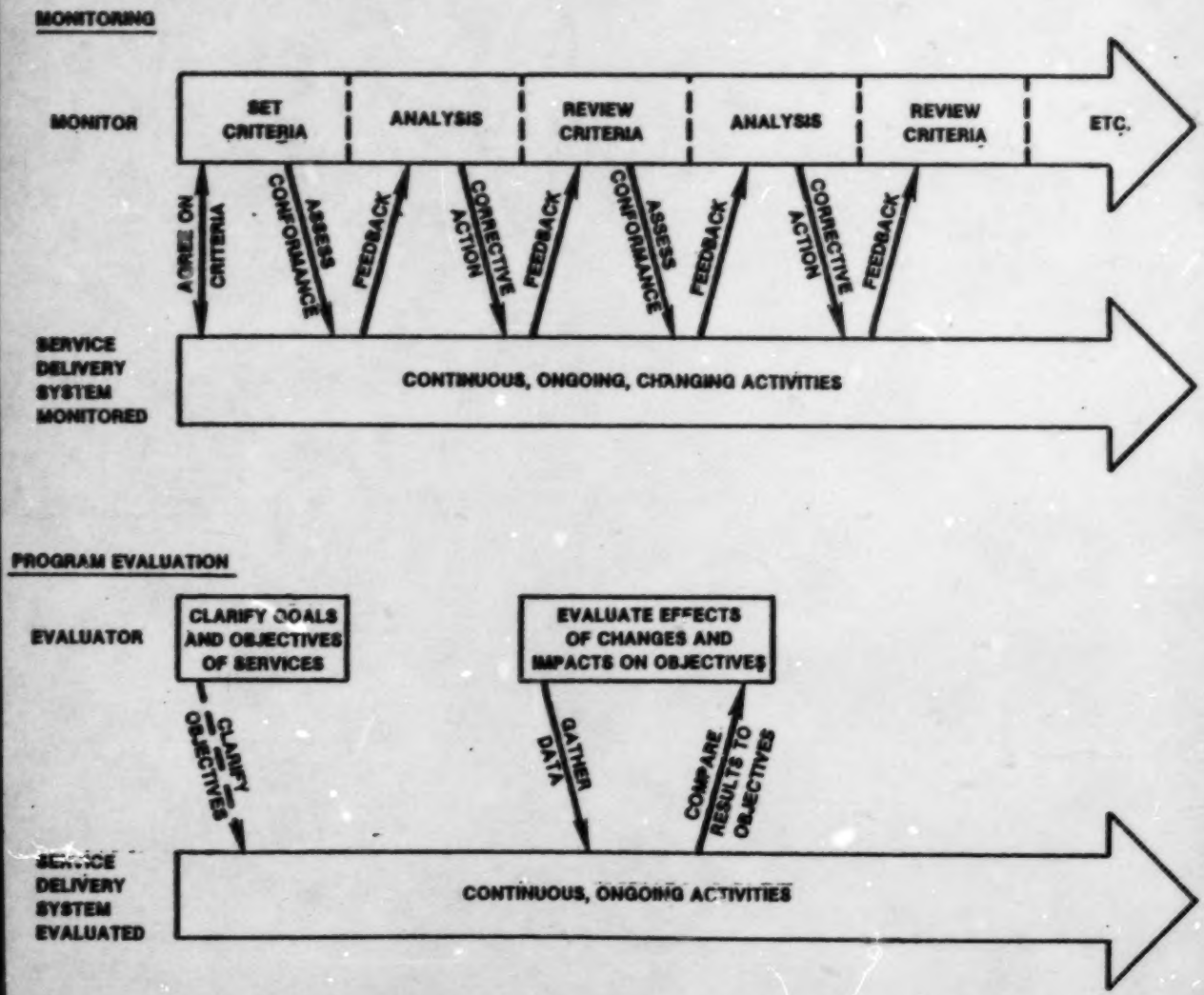
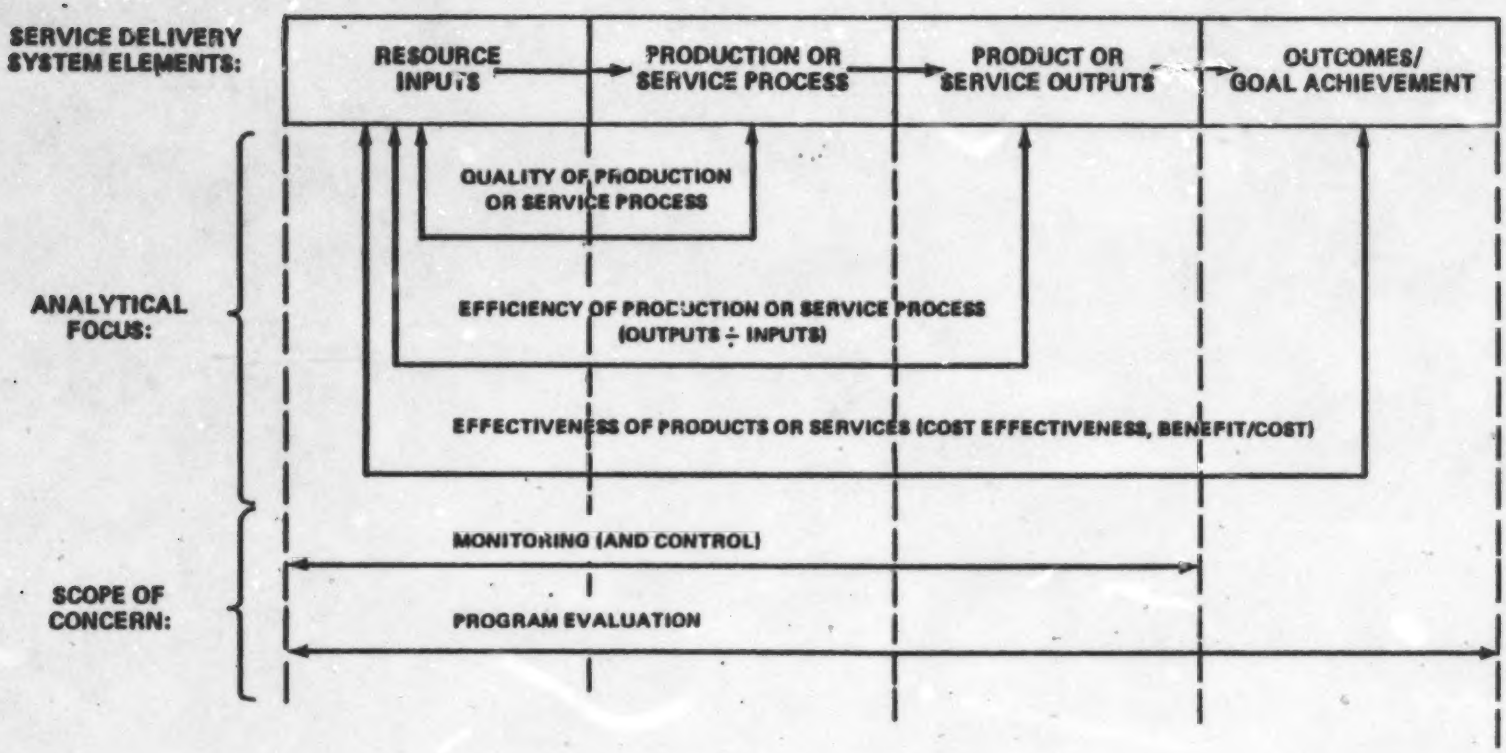


EXHIBIT 2

MONITORING AS COMPARED TO PROGRAM EVALUATION IN TERMS OF SYSTEM ELEMENTS


SERVICE DELIVERY SYSTEM ELEMENTS:
RESOURCE INPUTS
PRODUCTION OR SERVICE PROCESS
PRODUCT OR SERVICE OUTPUTS
OUTCOMES/ GOAL ACHIEVEMENT
QUALITY OF PRODUCTION OR SERVICE PROCESS
ANALYTICAL FOCUS:
EFFICIENCY OF PRODUCTION OR SERVICE PROCESS (OUTPUTS ÷ INPUTS)
EFFECTIVENESS OF PRODUCTS OR SERVICES (COST EFFECTIVENESS, BENEFIT/COST)
MONITORING (AND CONTROL)
SCOPE OF CONCERN:
PROGRAM EVALUATION

Another management consideration is in the analytic focus which relates outputs and inputs to develop efficiency measures. For example, the cumulative total number of days of care provided by all staff provides an efficiency measure but is not empirically linked to outcome. In our definition, the efficiency measure is generally the level at which monitoring operates.

On the other hand, the comparision of inputs and processes to outcomes which comprises outcome analysis is generally the analytic level at which evaluation operates. For example, Pennsylvania uses an instrument for monitoring all day care center providers that includes such items as: the existence and type of child development activities provided, the physical condition and safety of the provider center or home, and the quality of financial and other record keeping. These items help to focus on the quality, efficiency, and regulatory compliance of the day care services provided. Clearly, the monitor who performs a review using the questionnaire is also concerned that children's development and health are being enhanced and that parents are satisfied with the day care services. However, the monitor's role stops short of attempting to measure the extent of parent satisfaction, the program's contribution to the children's health, or the degree of child development that has occurred. The measurement of these factors and their relationship to the resources used and services provided would fall within the realm of program evaluation.

"Reviewing and Controlling"

Another key phrase in the definition is "reviewing and controlling." This phrase highlights the management control focus of monitoring. Monitoring does not include the organization of service delivery, the installation of management systems to support service delivery (e.g., the development and introduction of an accounting system for day care providers), or the selection of personnel to provide the services. All of these aspects of management may be tested by the monitor; however, the objective of monitoring is to assess whether these management systems are functioning well or poorly according to predetermined criteria and to take steps to correct any deficiencies that may be observed.

"Program Quality" and "Management Efficiency"

The third key phrase is "assuring and increasing program quality and management efficiency." "Program quality" is defined at whatever level a state finds acceptable and has incorporated into its licensing standards and its regulations. This term could include basic health and safety or enrichment or good management by the provider which leads to higher quality services to children. The monitoring role from the Consortium's perspective is not simply one of enforcement of standards as would be true in the licensing function but encompasses active support of improvement in the systems

(providers) that are monitored. The monitor plays a supportive role and works with the service providers to develop a strong service delievery system. Further, the emphasis is on the quality of the services provided and the resulting benefits to the clients that served. Both quality and efficiency are monitoring concerns.

"Predetermined Criteria"

The final key phrase is "predetermined criteria." The control criteria that are applied must be established as the first step in the monitoring process, and these criteria must have the acceptance (whether voluntarily or required by law) of the service provider. Ideally, service providers will have been involved in their development and implementation, and the criteria will reflect the most current accepted research and thinking in the particular field of service. Finally, the criteria should impose the least constraints on the service provider consistent with the objective of meeting designated levels and quality of services provided. While equity may not require that the same requirements be used for every type of service provider, it is critical that whatever requirements are applied are known by the service provider before monitoring begins.

In summary, monitoring is a management control process. This definition clarifies what is included in monitoring and sets boundaries to exclude certain activities. Monitoring at its best is a forward-looking and positive process that seeks to increase both program quality and management efficiency on an ongoing basis.

GENERAL CLASSIFICATION FRAMEWORK

Having defined monitoring for the purposes of this project, it is useful to consider the many ways in which monitoring is accomplished. The identification and enumeration of the particular functions that are included in monitoring is a method for developing an operational definition of monitoring that can serve as a basis for describing and comparing various monitoring systems. In this section, the emphasis is on an illustration of monitoring of day care services; however, the classification framework presented should be of value in considering any kind of regulatory activity carried out by public agencies, especially with respect to other childrens' services. It is important to note that the classification framework reflects what is happening in day care monitoring in the five Consortium states and others and does not represent a recommendation for the way monitoring should be structured.

The generic classification framework presented in this section has three major components:

- goals of monitoring;
- generic monitoring functions; and
- examples of state terms related to generic functions.

Each of these is described in greater detail below. Exhibit 3 provides a tabular depiction of the framework.

Goals of Monitoring

The goals to be achieved through a state's monitoring efforts are typically embodied (though not always explicitly) in the statutes or regulations concerning day care. In general, four main goals may be identified:

- protecting the health and safety of young children;
- promoting positive child development;
- assuring compliance with contracts; and
- managing resources efficiently and effectively.

These goals provide the initial basis for categorizing monitoring activities; and they are listed in Column 1 of Exhibit 3.

These goals are intended to be as comprehensive as possible in specifying the purposes of a monitoring system with regard to day care. They reflect both the positive focus of monitoring which is to improve services as well as the assurance or compliance focus which is regulatory in nature.

Generic Monitoring Functions

The goals may be further divided into the generic functions that are performed to achieve goals (Exhibit 3, Column 2). The monitoring functions listed in Exhibit 3 are also intended to represent the set of general tasks that are performed as part of a monitoring effort. These functions encompass enforcement activities, assistance to service providers, and activities directed at improving the general management of the overall day care system.

It is important to recognize three characteristics of the generic monitoring functions. First, not all of the functions listed may need to be performed by a state nor are they all performed by every state. Many of the functions are performed by the state but the precise scope of state activity is determined by general political environment regarding state involvement in regulation. Further, even if a state has an interest in assuring that a particular function is performed, it is often possible to encourage parents, third parties, (e.g., accounting firms for financial and compliance audits), or even the providers themselves to perform the functions with state assistance or supervision.

Second, a state's performance of a function is almost always authorized and defined by regulations, and sometimes required by law. The extent and quality of the regulations vary widely from state to state as may the methodology of enforcement and the range of state options to remedy unsatisfactory provider performance. Some states have determined that a simple checklist approach to compliance with requirements is suitable, while in others compliance is ascertained by the use of highly developed measures and standards.

EXHIBIT 3

GENERIC CLASSIFICATION FRAMEWORK FOR DAY CARE MONITORING ACTIVITIES*

Goals of Monitoring	Generic Monitoring Functions	Examples of States' Terms
Protecting the health and safety of young children	Perform health, sanitation, fire and safety inspections Review health and immunization records of children and staff Check staff knowledge and skills with respect to health and fire safety procedures Check records for availability of emergency phone numbers and health precautions Check adequacy and nutritive content of meals Check safety of vehicles and transportation procedures Enforce child abuse prohibitions Develop corrective action plans for deficiencies	Licensing Supervision Registration Approval Regulation Corrective Action Technical Assistance Delegation/Coordination (e.g., of all agencies involved in licensing)
Promoting positive child development	Check provision of program of activities Check provision of toys and activities equipment Verify levels of staff interaction with children Check levels of parental involvement Ensure staff qualifications and capabilities Encourage improvements in service (e.g., provide information, training, technical assistance) Check staff/child ratio and group size Verify existence of plans for each child Check for mainstreaming and special activities to include handicapped children in program Develop corrective action plans for deficiencies	Quality Assessment Regulation Licensing Supervision Registration Certification Technical Assistance Training Providers Corrective Action State Participation in Public Groups (e.g., professional associations, local community groups) to Promote Child Development Public Education Interagency Cooperation Program Enrichment Program Development

*List not intended to be comprehensive.

EXHIBIT 3

GENERIC CLASSIFICATION FRAMEWORK FOR DAY CARE MONITORING ACTIVITIES (continued)

Goals of Monitoring	Generic Monitoring Functions	Examples of States' Terms
Assuring compliance with contracts	Verify delivery of contracted levels of service (e.g., enrollments, attendance) Verify compliance with other terms of contracts (e.g., non-discrimination, minimum wage) Check quality of statistical and financial information and conduct fiscal audit Develop corrective action plans Check determination of eligibility for children	Contracting Reporting Billing and Paying Auditing (fiscal and program) Periodic Reviews of Contract Performance Provider Selection Administration/Judicial Review Procedure Contract Compliance
Managing resources efficiently and effectively	Short-range and long-range planning Allocating resources Recruiting and developing staff Developing new provider resources Evaluating day care system Developing procedures and systems Developing and monitoring policy	Legislation Regulation and Policy Development Planning Budgeting and Financial Control Personnel Management Funds Development (e.g., Titles XIX and X Technical Assistance in Managing Programs Facilities Development Systems Development Program Research and Evaluation Staff Development Resource Development (e.g., provider recruitment)

-13-

Third, for purposes of this conceptual framework the functions are intended to be general rather than specific. It would be possible to subdivide each function further into particular methods of performing the function. For example, the function "check provision of program of activities" might be broken down into the following subfunctions:

- verify the existence of a program plan;
- check the plan to determine what activities are scheduled at the time of the on-site review;
- determine whether the activities are age-appropriate; and
- verify that the scheduled activities are being performed.

In defining general monitoring functions, we avoided this level of detail in the framework because it is possible to utilize a variety of approaches. For example, a less active approach than above to this sample function could include as alternate subfunctions:

- verify that the provider gives each parent a description of the program offered by the provider; or
- investigate only complaints received from parents that the provider is not adhering to the general program promised.

Examples of State Terms

Column 3 of Exhibit 3 lists some of the designations given by states to activities that incorporate the generic functions and are focused on achieving the various goals. These provide a link between the goals, the generic functions, and the terminology used by states for monitoring activities. There is not a one-to-one correspondence between any single term and a related function or goal. Instead, some terms are applied to several goals and may apply to various combinations of functions. For example, in certain states registration of family day care homes may include several of the generic functions listed under both "protecting the health and safety of young children" and "promoting child development." In other states, the term "registration" would refer only to the assuring compliance related to the generic "health and safety" functions while program enrichment would be used to describe generic functions related to child development.

The terms listed are some of the most frequently used terms in the Consortium. The list could be expanded substantially if every state's terminology were included. If the classification framework is well constructed, however, any additional terms should be readily subsumed under one of the four goals or related sets of generic functions.

In summary, by specifying activities that are actually being carried out under the term "monitoring," we have a mechanism for clarifying differences in terminology among states and for comparing the scope of monitoring activities. Further, the classification framework should have heuristic value in encouraging states to view their particular monitoring system in the context of a complete listing of many of the functions that monitoring could conceptually include. Finally, identifying these activities gives a practical interpretation of the conceptual boundaries of monitoring as defined at the beginning of this paper.

In the process of transferring components within the Consortium, we will attempt to resolve the questions raised by this paper. However, this conceptual framework provides only a basic structure for resolving the issues. The insight and experience of state administrators who have monitoring responsibilities will be an essential additional requirement in the use of the conceptual framework for achieving useful transfers of monitoring components.

EXTENDING MONITORING CONCEPTS TO OTHER CHILDREN'S SERVICES

The Consortium states and other interested parties have suggested that foster care, day treatment, special needs programs, and health service linkages through the day care delivery system may be children's services where similar monitoring concepts could be applied. In considering the idea of expanding from day care to other children's services, a number of questions naturally arise. The following questions should be studied carefully to take into account differences among services that may affect the broader application of monitoring concepts being developed by the Consortium:

1. Is the agency setting the same for monitoring day care and the other children's service(s) being considered?

   Generally, the same agency—a department of public welfare or human services—provides the setting for monitoring. However, day care is usually monitored in a separate division from such services as protective services, homemakers, and foster family care.

2. Are the same group of professionals involved?

   While the chief executive of a department is usually the same, professionals with quite different backgrounds are involved at lower levels. Typically, child development specialists operate day care programs while social workers operate other children's services.

3. Are the same providers involved?

   Generally, agencies and individuals that provide day care are a different group from those agencies that provide such services as residential care, foster family care, adoption services or protective services. This may mean that providers must be reached through different networks than those already established through the Consortium.

4. Are the service delivery processes the same?

   Major differences are apparent between day care which involves part-day responsibility for young children and such services as foster care which involves 24-hour responsibility or protective services which many times provides services in a child's own home.

5. Are licensing and monitoring activities as well conceived and structured for the other children's services?

   In general, the recent thrust of improvements in day care monitoring has not been matched in the other children's services. A recent survey of 25 state child welfare programs revealed an almost universal lack of performance standards in the social services against which to monitor service delivery. The use of the term "monitoring" in social services varied widely from that recognized in the management sciences; many states simply say that monitoring services is a part of the supervisor's function and leave the terms undefined.

Preliminary consideration of these five questions support the thought that significant differences exist in the environments within which monitoring of day care and of the other children's services functions. Thus, subsequent examination of the goals and functions of monitoring in the other services needs to take these differences into consideration.

On the other hand, the Pennsylvania Department of Public Welfare has been relatively successful in developing new instruments for monitoring foster family care using the same approach as they do in day care. While there has not yet been time for a structured pilot test of the instrument, one Pennsylvania regional office has applied the approach with a reasonable level of satisfaction.

Iowa is another State that had demonstrated a structured approach to monitoring their social service programs. The Iowa Department of Social Services has developed a "Planning and Evaluation Service Review" process which is applied to all Title XX social services. Their service review worksheet provides a checklist of elements that are to be verified through an analysis of case records and applications or in interviews with clients. The Iowa approach (as well as a planning effort of the Wisconsin Division of Family Services in 1977-78) borrowed heavily from the quality control approach which involves independent verification of a sampling of units of production (or service).*

In summary, extending the monitoring concepts of day care to other children's services will require careful study primarily because of differences in the environments within which services are provided and monitored and because of differences in the monitoring experience of the other services. The Consortium plans to study this issue in Phase II of its project life, beginning in November 1981, and welcomes information about developments, comments and questions.

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*Peat, Marwick, Mitchell & Co., and Child Welfare League of America: Detailed Design of Quality Control of Children's Social Services, prepared for Office of Child Development-DHEW Contract No. HEW-105-76-11-1, August 1977 (Unpublished Draft), p. II.5.

CHILDREN'S SERVICES MONITORING TRANSFER CONSORTIUM

HHS/HDS Grant 90-PD-10005 June 1981

CONSORTIUM LAUNCHED

An exciting new venture of five States was launched in November 1980 to transfer exemplary components of monitoring of children's services. With financing through a grant from the Department of Health and Human Services, Office of Policy Development, a Consortium was formed by:

- California Department of Education;
- Michigan Department of Social Services;
- Pennsylvania Department of Public Welfare;
- Texas Department of Human Resources; and
- West Virginia Department of Welfare.

Additional States will be invited to participate in the future. The grant has a three-year timeframe, with HHS grant financing on a year-to-year basis.

Pennsylvania is serving as the lead State, and Rick Fiene of the Pennsylvania Office of Children, Youth and Families is Project Director. Peat, Marwick, Mitchell & Co. is providing technical assistance and staff services to the Consortium, under contract with Pennsylvania.

Goals and Purpose of the Consortium

The goal of the Consortium is to enhance the capability of the States to oversee programs for children to assure the health and safety of young children as well as the quality of programs. The Consortium's mode of operation is to provide for State-to-State transfer of exemplary and cost-saving monitoring components: practical improvements that have demonstrated their usefulness in helping agencies to manage and oversee service delivery.

The purpose of the Consortium is to monitor State-based standards and regulations guiding the provision of services for children. Initially the Consortium is focusing on child day care--both in centers and family day care settings--with plans to expand to other children's services.

MONITORING DEFINED AS A MANAGEMENT TOOL

Monitoring has been defined by the Consortium as:

> The management process of reviewing and controlling the delivery of program services on an ongoing basis, according to predetermined criteria, with the intention of taking corrective action to assure and increase both program quality and management efficiency.

Because the States use various terms to describe their activities related to oversight of children's services, the following are defined as being within the scope of the Consortium: licensing, regulation, approval, establishing regulations or guidelines, technical assistance, training, corrective action, contracting, reporting, auditing, and evaluation.

A "Conceptual Framework for Monitoring Children's Services" has been prepared as a working draft and is available to States and interested professionals, upon request.

A DEMONSTRATED APPROACH TO STATE-TO-STATE TRANSFER

The transfer approach being used by the Consortium is based on the approach developed by the HHS Human Services Management Transfer Project. This approach has proven to be an effective and efficient way to share technology, experiences, and expertise among States. Exemplary monitoring components within one State will be modified and transferred within the Consortium. These components will then be "packaged" into more generic pieces which, in Phases II and III, can be transferred to States that are not currently part of the Consortium. The transfers typically involve assisting the receiving State in planning, developing workplans, modifying, designing, testing, troubleshooting, implementing, and assessing the transfer.

PROGRESS TO DATE

Getting organized in the first phase included convening the Consortium, developing descriptive profiles of each of the five States' monitoring systems, identifying 22 exemplary monitoring components as candidates for transfer, preparing the conceptual framework of monitoring, and setting specific objectives for initiating transfers. While each State has exchanged information and materials on selected monitoring components to other States, the following major transfers have been initiated:

- Pennsylvania to California - An instrument-based approach to monitoring State day care standards for health, safety, and program quality and then linking the data to statistical and fiscal data to provide decisionmakers with sound objective analyses of programs, cost/benefits, problems, and progress.

- California to Texas - A competitive procurement process for day care and other purchased social services.

- Michigan to California and Texas - A licensing enforcement workshop that trains workers in the total enforcement process from initial complaint intake to the gathering of evidence for administrative hearings.

- West Virginia to Michigan - An enrichment program for family and center day care providers that includes monitoring for standards (the program was originally developed under an HHS grant to West Virginia).

- Pennsylvania to Michigan, Texas, and West Virginia - A methodology for developing a "short form" indicator checklist for monitoring that predicts full compliance with State standards.

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